

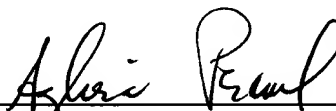
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



INVENTORS: James R. Kraemer
APPLICATION NO. Not Yet Assigned
FILED: Herewith
CASE: RSW9-2000-0107-US1
TITLE: SYSTEM AND METHOD FOR AUTOMATICALLY
REBALANCING PORTFOLIOS BY SINGLE RESPONSE

CERTIFICATE OF EXPRESS MAILING

I certify that this document and fee is being deposited with the U.S. Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, Washington, DC 20231 on October 10, 2000.


Sylvia Prawl

Commissioner for Patents
Washington, DC 20231

Information Disclosure Statement
Pursuant to 37 C.F.R. §§1.56, 1.97 and 1.98

Sir:

Pursuant to Applicants' duty of disclosure set forth in 37 CFR §§1.56, 1.97 and 1.98, the following information is disclosed to aid the Examiner in his or her examination of the application. The inclusion of information in this Disclosure Statement and as set forth on the attached Forms PTO-1449 is not necessarily a concession that such information is prior art to the present invention or that such information is in an art area analogous to the present invention. Copies of the publications listed on the attached Forms PTO-1449 are submitted herewith.

Docket No. RSW9-2000-0107-US1

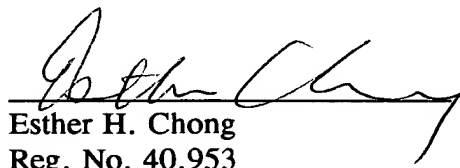
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It is respectfully requested that the Examiner initial Forms PTO-1449 and return a copy of same upon consideration of these publications.

Since this Information Disclosure Statement is being filed prior to the mailing date of a first Office Action on the merits, no fee or certification is required.

Respectfully submitted,

Date: October 10, 2000


Esther H. Chong
Reg. No. 40,953
Synnestvedt & Lechner LLP
2600 Aramark Tower
1101 Market Street
Philadelphia, PA 19107-2950
(215) 923-4466

M:\EChong\IBM\24275\IDS transmittal.wpd

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
RSW9-2000-0053

In Re Application Of: **James R. Kraemer**

Serial No.

-

Filing Date

Herewith

Examiner

Group Art Unit

Title: **SYSTEM AND METHOD OF SOLVING OPTIMIZATION PROBLEMS USING PRESTORED
ADVANCED BASES**

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

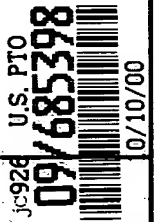
whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).



TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
RSW9-2000-0107-US1

In Re Application Of: **James R. Kraemer**

Serial No.

Filing Date
Herewith

Examiner

Group Art Unit

Title: **SYSTEM AND METHOD FOR AUTOMATICALLY REBALANCING PORTFOLIOS BY SINGLE RESPONSE**

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0629 as described below. A duplicate copy of this sheet is enclosed.
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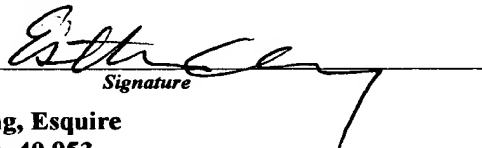
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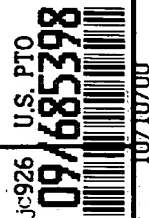
*This certificate may only be used if paying by deposit account.


Signature

Dated: **October 10, 2000**

Esther H. Chong, Esquire
Registration No. 40,953
Synnestvedt & Lechner LLP
2600 Aramark Tower
1101 Market Street
Philadelphia, PA 19107-2950
Telephone: (215)923-4466
Facsimile: (215)923-2189

CC:



Attorney Docket: RSW9-2000-0107-US1



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Signature

A handwritten signature in cursive script, appearing to read "Sylvia Prawl", written over a horizontal line.

Sylvia Prawl

Print Name